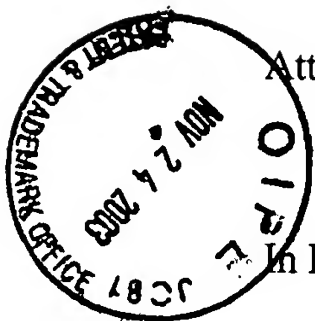


2874  
Image



Attorney's Docket No. 42P13867

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Patent Application of:

Paniccia

Application No. 10/084,776

Filed: February 25, 2002

For: METHOD AND APPARATUS FOR  
INTEGRATING AN OPTICAL  
TRANSMIT MODULE

Examiner: Valencia, Daniel E.

Art Unit: 2874

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

\_\_\_\_\_ 37 C.F.R. §1.97(b).

XX 37 C.F.R. §1.97(c). If so, then enclosed with this Information Disclosure Statement is one of the following:

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\_\_\_\_\_ A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

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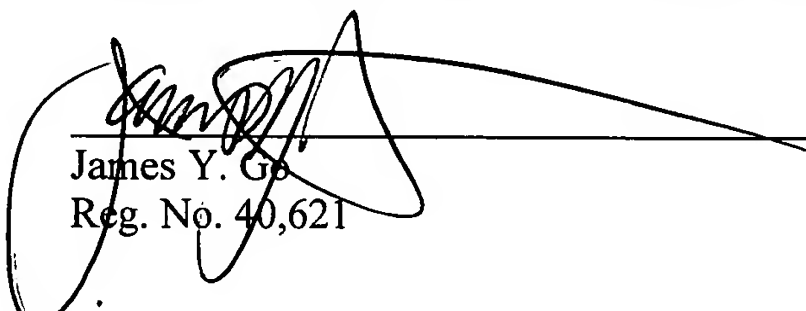
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If there are any additional charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: 11-19-03

  
James Y. Go  
Reg. No. 40,621

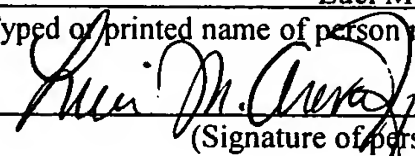
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(Date of Deposit)

Luci M. Arevalo  
(Typed or printed name of person mailing correspondence)

  
(Signature of person mailing correspondence)



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P.O. Box 1450  
Alexandria, VA 22313-1450

STATEMENT UNDER 37 C.F.R. §1.97(e)

Sir:

I hereby certify (as indicated by an "X" to the left of the appropriate paragraph):

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Luci M. Arevalo

(Typed or printed name of person mailing correspondence)

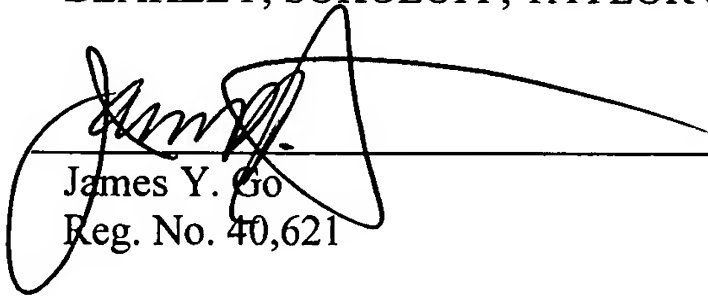
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\_\_\_\_\_ That no item of information contained in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned attorney after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in §1.56(c) more than three months prior to the filing the Information Disclosure Statement.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: 11-19-03

  
\_\_\_\_\_  
James Y. Go  
Reg. No. 40,621

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Los Angeles, CA 90025-1026  
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

C mplet if Kn wn

Application Number	10/084,776
Filing Date	February 25, 2002
First Named Inventor:	Paniccia
Art Unit	2874
Examiner Name	Valencia, Daniel E.
Attorney Docket Number	42P13867

Sheet	1	of	2
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## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (If known)				
	1.	US-	5,908,305	06/01/1999	Crampton et al.	
		US-				
		US-				
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## FOREIGN PATENT DOCUMENTS

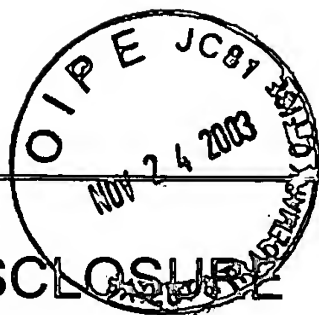
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
	2.	WO	00/67407	11/09/2000	TELEFONAKTIEBOLAGET LM ERICSSON		
	3.	JP	11211924	06/08/1999	NIPPON TELEGR & TELEPH CORP		
	4.	JP	2000124543	04/28/2000	NIPPON TELEGR & TELEPH CORP		
	5.	PCT/US03/04638		09/04/2003	International Search Report		

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language translation is attached.

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Application Number	10/084,776
Filing Date	February 25, 2002
First Named Inventor:	Paniccia
Art Unit	2874
Examiner Name	Valencia, Daniel E.
Attorney Docket Number	43P13867

Sheet 2 of 2

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
	6.	FISCHER, U., et al., "Singlemode Optical Switches Based On SOI Waveguides With Large Cross-Section," Electronics Letters, Vol. 30, No. 5, (March 3, 1994), pp. 406-408	
	7.	FISCHER, U., et al., "Integrated Optical Waveguide Switches in SOI," Proceedings 1995 IEEE International SOI Conference, (October 1995), pp. 141-142	
	8.	CUTOLO, A., "An Electrically Controlled Bragg Reflector Integrated in a Rib Silicon On Insulator Waveguide," Appl. Phys. Lett. 71 (2), (July 14, 1997), pp. 199-201	

Examiner Signature	Date Considered
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